

FORM PTO-1390  
(REV 07-06)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

03164.0206USWO

U.S. APPLICATION NO. (If known, use 37 C.F.R. 1.5)

10/587221

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/AU2005/000083

January 25, 2005

January 28, 2004

TITLE OF INVENTION

METHOD, APPARATUS AND SYSTEM FOR TRANSFERRING HEAT

APPLICANT(S) FOR DO/EO/US

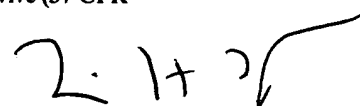
SHARMA

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(I).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 20. below concern document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98, Form 1449 and 2 References.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☒ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: 4 Sheets of Formal Drawings, International Publication WO 2005/073644 A1 with attached Form PCT/ISA/210, Form PCT/ISA/237

|  |              |   |            |  |        |
|--|--------------|---|------------|--|--------|
| U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)<br>Filed Herewith <b>10/587221</b>  |              | INTERNATIONAL APPLICATION NO.<br>PCT/AU2005/000083                            |            | ATTORNEY'S DOCKET NUMBER<br>03164.0206USWO   |        |
| BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)):  |              |   |            |  |        |
| [X] a) Basic National fee (37 CFR 1.492(a)).....\$300.00   |              |   |            | \$300.00   |        |
| [X] b) Examination fee (37 CFR 1.492(c))<br>If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....\$0<br>All other situations.....\$200.00  |              |   |            | \$200.00   |        |
| [X] c) Search fee (37 CFR 1.492(b))<br>If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....\$0<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....\$100.00<br>International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....\$400.00<br>All other situations.....\$500.00 |              |   |            | \$400.00   |        |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |   |            | <b>\$900.00</b>  |        |
| Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.  |              |   |            |  |        |
| Total Sheets   | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | Rate       |  |        |
| 32   | -100 = 0     | /50 =   | X \$250.00 | \$0.00   |        |
| Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).  |              |   |            | \$0.00   |        |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA  | RATE       |  |        |
| Total claims   | 31           | -20 = 11  | X \$50.00  | \$550.00   |        |
| Independent claims   | 3            | -3 = 0  | X \$200.00 | \$0.00   |        |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |   | + \$360.00 | \$0.00   |        |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |   |            | <b>\$1450.00</b>   |        |
| Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27   |              |   |            | \$0.00   |        |
| <b>SUBTOTAL =</b>  |              |   |            | <b>\$1450.00</b>   |        |
| Processing fee of \$130.00 for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).   |              |   |            | + \$0.00   |        |
| <b>TOTAL NATIONAL FEE =</b>  |              |   |            | <b>\$1450.00</b>   |        |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property   |              |   |            | + \$0.00   |        |
| <b>TOTAL FEES ENCLOSED =</b>   |              |   |            | <b>\$1450.00</b>   |        |
|  |              |   |            | Amount to be refunded:   | \$0.00 |
|  |              |   |            | charged  | \$0.00 |
| a. [X] Check(s) in the amount of \$1450.00 to cover the above fees is enclosed.  |              |   |            |  |        |
| b. [ ] Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.   |              |   |            |  |        |
| c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 13-2725.  |              |   |            |  |        |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.  |              |   |            |  |        |
| SEND ALL CORRESPONDENCE TO:<br>Brian H. Batzli<br>MERCHANT & GOULD<br>P.O. Box 2903<br>Minneapolis, MN 55402-0903  |              |   |            |  |        |
|  |              |   |            | SIGNATURE:  |        |
|  |              |   |            | NAME: Brian H. Batzli  |        |
|  |              |   |            | REGISTRATION NUMBER: 32,960  |        |

10/587221

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: SHARMA

Docket: 03164.0206USWO

Title: METHOD, APPARATUS AND SYSTEM FOR TRANSFERRING HEAT

IAP11 Rec'd PCT/PTO 25 JUL 2006

## CERTIFICATE UNDER 37 CFR 1.10:

"Express Mail" mailing label number: EV 840130195 US  
Date of Deposit: July 25, 2006

I hereby certify that this paper or fee is being deposited with the U.S. Postal Service Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

By: \_\_\_\_\_

Name: John Junkins

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ National Stage PCT Patent Application of PCT/AU2005/000083: Spec. 28 pgs; 34 claims; Abstract 1 pgs.  
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☒ 4 sheets of formal drawings
- ☒ An unsigned Combined Declaration and Power of Attorney
- ☒ A check in the amount of \$1450.00 to cover the Filing Fee
- ☒ Information Disclosure Statement, Form 1449, 2 reference(s).
- ☒ Application Data Sheet, 3 pages.
- ☒ Form PCT 1390
- ☒ Other: Preliminary Amendment, International Publication WO 2005/073644 A1 with attached Form PCT/ISA/210, Form PCT/ISA/237
- ☒ Return postcard

## CLAIMS AS FILED

| Number of Claims Filed        | No. | In Excess of | Extra | Rate   | Fee       |
|-------------------------------|-----|--------------|-------|--------|-----------|
| Total Claims                  | 31  | 20           | 11    | 50.00  | = 550.00  |
| Independent Claims            | 3   | 3            | 0     | 200.00 | = 0.00    |
| Multiple Dependent Claims Fee |     |              |       |        | = 0.00    |
| Basic Filing Fee              |     |              |       |        | = 300.00  |
| Search Fee                    |     |              |       |        | = 400.00  |
| Examination Fee               |     |              |       |        | = 200.00  |
| Utility Application Size Fee  | 32  | 100          | 0     | 250.00 | = 0.00    |
| Total                         |     |              |       |        | = 1450.00 |

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

Merchant & Gould P.C.  
P.O. Box 2903 Minneapolis, MN 55402-0903  
612.332.5300

By: Brian H. Batzli  
Name: Brian H. Batzli  
Reg. No.: 32,960  
Initials: BHB/mkc

23552

PATENT TRADEMARK OFFICE

PTO TRANSMITTAL - NEW FILING)